

UNITED STATES DISTRICT COURT

DISTRICT OF ARIZONA

In Re Bard IVC Filters Products  
Liability Litigation

No. MD-15-02641-PHX-DGC

**EXHIBIT INDEX**

**PLAINTIFFS' CONTROVERTING  
STATEMENT OF FACTS IN  
OPPOSITION TO BARD'S MOTION  
FOR SUMMARY JUDGMENT  
REGARDING PREEMPTION**

- |            |  |
|------------|--|
| Exhibit 1  | Daniel Orms 8-16-16 Deposition Excerpts                    |
| Exhibit 2  | BPV-DEP-00014537 (G2 FAQs) (FILED UNDER SEAL)              |
| Exhibit 3  | M Kessler 2nd Supplemental Report (FILED UNDER SEAL)       |
| Exhibit 4  | M Kessler Preemption Declaration                           |
| Exhibit 5  | Robert Carr 6-16-17 Deposition Excerpts (FILED UNDER SEAL) |
| Exhibit 6  | Murray Asch 5-2-16 Deposition Excerpts (FILED UNDER SEAL)  |
| Exhibit 7  | Parisian Trial Transcript Excerpts                         |
| Exhibit 8  | Christine Brauer 08-02-17 Deposition Excerpts              |
| Exhibit 9  | Kay Fuller 01-11-16 Deposition Excerpts                    |
| Exhibit 10 | Kay Fuller 11-09-10 Deposition Excerpts                    |
| Exhibit 11 | David Kessler MD 07-31-17 Deposition Excerpts              |

# EXHIBIT 1

Daniel Orms

1           IN THE CIRCUIT COURT OF THE 17TH JUDICIAL  
2       CIRCUIT, IN AND FOR BROWARD COUNTY, FLORIDA

5	-----§	
	CLARE AUSTIN,	§
6		§
	Plaintiff,	§
7	v.	§
		§
8	C.R. BARD, INC., a foreign	§
	corporation, and BARD PERIPHERAL	§
9	VASCULAR, INC., an Arizona	§
	corporation, MATTHEW ROBBINS,	§ Case No.
0	M.D., and CLEVELAND CLINIC	§ CACE-15-008373
	FLORIDA,	§ Div: 07
1		§
	Defendants.	§

Videotaped deposition of DANIEL ORMS, held at  
18 Miami Marriott Dadeland, 9090 South Dadeland  
Boulevard, Miami, Florida, 33156, commencing at  
19 9:20 a.m., on the above date, before Trina B.  
Wellslager, Registered Professional Reporter and  
20 Notary Public.

22 GOLKOW TECHNOLOGIES, INC.  
877.370.3377 ph | 917.591.5672 fax  
23 deps@golkow.com

1 Q. -- of the Recovery filter, correct?

2 A. Uh-hum.

3 Q. Do you remember what year that began to be  
4 marketed?

5 A. I don't.

6 Q. Does 2005 ring a bell?

7 A. It sounds about right.

8 Q. Okay. And was it originally cleared with the  
9 retrievable indication?

10 A. I believe not.

11 Q. Okay. So a permanent one and then the --

12 A. Permanent, and then the retrievable indication  
13 followed.

14 Q. Do you remember how long it was in between?

15 A. I don't.

16 Q. Okay. Do you remember hearing of any  
17 physicians, although it wasn't approved for  
18 retrievability, taking it out anyway?

19 A. So using it off label, is that what you're  
20 asking?

21 Q. I'm asking you if you ever heard of any  
22 physicians, despite it not being indicated for  
23 retrievability, taking it out anyway?

24 A. Yes.

1 Q. Okay. And when did you hear that?

2 A. I can't give you specifics. I can -- like when  
3 you said do you remember, I do remember physicians using  
4 it, again, what is off label, so out of indication. I  
5 can't tell you one exactly.

6 Q. Okay. Do you remember how many times you  
7 became aware of physicians removing the G2 filter when  
8 it didn't have a retrievable indication?

9 A. No.

10 Q. Okay. But it happened in your territory.

11 A. Yes.

12 Q. Okay. Did you hear about it happening in any  
13 other territories?

14 A. Yes.

15 Q. Okay. So this was understood that physicians  
16 were removing the G2 filter prior to it having a  
17 removable indication? Retrievable indication, excuse  
18 me.

19 MR. BROWN: Object to the form.

20 A. Yeah, physicians were choosing to use the  
21 device off label.

22 Q. Okay. Do you know why the Recovery filter  
23 was modified?

24 A. Do I know why?

# **EXHIBIT 2**

## **(Filed Under Seal)**

# **EXHIBIT 3**

## **(Filed Under Seal)**

# EXHIBIT 4



1 Ramon Rossi Lopez - [rlopez@lopezmchugh.com](mailto:rlopez@lopezmchugh.com)  
(California Bar Number 86361; admitted *pro hac vice*)  
2 Lopez McHugh LLP  
100 Bayview Circle, Suite 5600  
3 Newport Beach, California 92660  
949-812-5771

4 Mark S. O'Connor (011029) - [mark.oconnor@gknet.com](mailto:mark.oconnor@gknet.com)  
5 Gallagher & Kennedy, P.A.  
2575 East Camelback Road  
6 Phoenix, Arizona 85016-9225  
602-530-8000

7 *Co-Lead/Liaison Counsel for Plaintiffs*

8 UNITED STATES DISTRICT COURT

9 DISTRICT OF ARIZONA

10 In Re Bard IVC Filters Products  
11 Liability Litigation

No. MD-15-02641-PHX-DGC

12 **DECLARATION OF DAVID KESSLER**

13  
14 I, David Kessler, declare and state as follows:


15 1. I am over the age of 18 and the statements made below are true and correct  
16 of my own personal knowledge, unless otherwise stated.

17 2. I am one of the experts retained by Plaintiffs in the *In Re Bard IVC Filters*  
18 *Products Liability Litigation* case, No. MD-15-02641-PHX-DGC, pending in the District  
19 of Arizona.

20 3. I previously authored reports in this case dated September 26, 2016, and  
21 March 3, 2017.

22 4. As part of my work on this case, I have been asked to provide additional  
23 opinions relating to certain facts and issues recently raised by Bard in connection with its  
24 Motion for Summary Judgment re Preemption (Doc. 5396).

25 5. My supplemental report dated July 15, 2017, contains these additional  
26 opinions, which I incorporate into this Declaration by reference. I also incorporate my  
27 September 26, 2016, and March 3, 2017, reports into this Declaration by reference.  
28

Pursuant to 28 U.S.C. Section 1746, I declare under penalty of perjury that the foregoing is true and correct. 

David Kessler

# **EXHIBIT 5**

## **(Redacted and Filed Under Seal)**

1 IN THE UNITED STATES DISTRICT COURT

2 FOR THE DISTRICT OF ARIZONA

3

4 IN RE: BARD IVC FILTERS PRODUCTS )  
LIABILITY LITIGATION ) No.  
5 \_\_\_\_\_) MD-15-02641-PHX-DGC

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10 DO NOT DISCLOSE - SUBJECT TO FURTHER  
CONFIDENTIALITY REVIEW

11

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13

14 VIDEOTAPED DEPOSITION OF ROBERT MICHAEL CARR, JR.

15 Phoenix, Arizona

16 June 6, 2017

17 9:00 a.m.

18

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REPORTED BY:

24 Robin L. B. Osterode, RPR, CSR

25 AZ Certified Reporter No. 50695

DO NOT DISCLOSE SUBJECT TO FURTHER CONFIDENTIALITY REVIEW

Page 31

1 Q. Part 870.3375, which are -- it's a  
2 regulation relating to cardiovascular/intravascular  
3 filters. Now, that indicates three types of  
4 additional items that an IVC filter must comply with  
5 to get 510(k) clearance. Correct?

6 A. Yes.

7 Q. And those are related to IVC filters, but  
8 not limited to IVC filters. Right?

9 MR. NORTH: Objection to the form.

10 THE WITNESS: I believe they are limited to  
11 IVC filters.

12 BY MR. CLARK:

13 Q. Okay, so that -- and that's what I want to  
14 understand. Are there any types of filters that are  
15 not -- that aren't placed in the inferior vena cava  
16 that would also be subject to this, if you know?

17 A. Not to my knowledge, no.

18 Q. Do you have an understanding that these  
19 regulations that we've just talked about, the four  
20 regulations have not changed from 2002 through 2013  
21 when all the sort of regulatory actions, so to speak,  
22 happened with respect to 510(k) clearance for the  
23 Recovery through Denali line of filters?

24 A. I know that they've been revised; I  
25 couldn't tell you the exact changes, but they have

DO NOT DISCLOSE SUBJECT TO FURTHER CONFIDENTIALITY REVIEW

Page 32

1 certainly been revised.

2 Q. If I told you that there were no changes to  
3 these four regulations from 2002 through 2013, other  
4 than possibly formatting, would you have any reason  
5 to disagree with that?

6 A. No, not without looking at them.

7 Q. Now, with respect to your work with --  
8 there's reference in the last statute that I -- I'm  
9 sorry, regulation that I showed you to three  
10 additional types of requirements for filters. One is  
11 ISO 10993. What is that requirement?

12 A. It's a requirement that outlines the  
13 biocompatibility testing, biological testing that  
14 medical devices, certain types of medical devices  
15 must undergo.

16 Q. And when you say "certain types of medical  
17 devices," that includes IVC filters. Correct?

18 A. It does.

19 Q. But there would potentially be other  
20 medical devices that would also have to comply with  
21 this ISO?

22 A. They do, to varying degrees, yes.

23 Q. Do you have any examples of other devices  
24 besides IVC filters that would have to comply with  
25 ISO 10993?

DO NOT DISCLOSE SUBJECT TO FURTHER CONFIDENTIALITY REVIEW

Page 33

1           A.       I believe all do. But it depends on their  
2       classification as to what testing you need to do.

3           **Q.       So all devices have to establish**  
4       **biocompatibility, but the testing that's needed to**  
5       **establish, that will vary, depending on the type of**  
6       **device. Fair?**

7           A.       Yes. Context of the patient or it's an  
8       implant, et cetera.

9           **Q.       What's the 510(k) Sterility Review Guidance**  
10       **and Revision of 2-12-90?**

11          A.       It's pretty self-explanatory. It's a  
12       guidance for testing for the sterility of a product.

13          **Q.       Is that -- does that apply to all products?**

14                   MR. NORTH: Objection to the form.

15       BY MR. CLARK:

16          **Q.       I'm sorry, does that apply to all medical**  
17       **devices?**

18          A.       No.

19          **Q.       Do you have an understanding of the types**  
20       **of medical devices that this requirement applies to?**

21          A.       Certainly implants. Those that are not --  
22       some surgical tools that are usable it probably would  
23       not apply to directly; it's a bit different. They  
24       don't come sterile.

25          **Q.       So that -- that requirement is essentially**

[illegible]



# **EXHIBIT 6**

## **(Redacted and Filed Under Seal)**

1 IN THE UNITED STATES DISTRICT COURT

2 FOR THE DISTRICT OF ARIZONA

3

4 In Re Bard IVC Filters )

5 Products Liability Litigation )

6 -----) No. MD-15-02641-PHX-DGC

7

8 Do Not Disclose -

9 Subject to Further Confidentiality Review

10

11 This is the videotaped deposition of MURRAY R.

12 ASCH, M.D., taken before Terry Wood, CSR, RPR, a court

13 reporter, at Victoria Room, Residence Inn, 160

14 Consumers Drive, Whitby, Ontario, Canada, on the 2nd of

15 May, 2016, at 9:13 a.m..

16

17 Reported by: Terry Wood, CSR (Ont.), RPR

18 Videographer: Jim Lopez

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[REDACTED]

Q. All right. Dr. Asch, I want to

talk to you now about that study.

What were you asked to do by Bard?

A. I was asked to recruit patients

into the study and assess the safety and feasibility of

both implanting the device, and removing the device to

ensure that it was -- it was safe and lived up to their

expectations of a retrievable device.

Q. And so part of the study was to see

if these could be taken out, in fact, after a period of

weeks?

A. Yes, the main --

MR. NORTH: Objection to the form. I'm

sorry.

BY MR. BOATMAN:

Q. And was part of your analysis as to

whether, in retrieval, the vein would be damaged in the

removal process?

MR. NORTH: Objection to form.

THE DEPONENT: Yes.

BY MR. BOATMAN:

Q. You can answer. When you say it

was -- would you call this a retrievability study?

1 A. Yes, absolutely.

2 Q. When you say a retrievability  
3 study, is that different than a safety study?

4 A. Yes, there are different aspects of  
5 any device and including an IVC filter. So an IVC  
6 filter has a function to perform in terms of remaining  
7 in position, in terms of protecting patients from  
8 pulmonary emboli, blot clots to the lungs. However,  
9 this study wasn't designed to test those things. This  
10 study was designed to ensure that the device could be  
11 safely removed.

12 Q. If you had been asked to do a  
13 safety study for the use of the filter long-term, would  
14 have the study been done differently?

15 A. Yes. There were different  
16 questions. The study would have been done differently  
17 with a different question.

18 Q. And give me some examples of how it  
19 would have been done differently?

20 A. Well, the design of scientific  
21 studies is a bit complex and challenging, depending  
22 upon the specific questions. So if we are looking for  
23 long-term safety of the device, I would then embark  
24 upon a long-term study, leaving the filter in for a

# EXHIBIT 7

1 UNITED STATES DISTRICT COURT  
2 DISTRICT OF NEVADA  
3 BEFORE THE HONORABLE ROBERT C. JONES, DISTRICT JUDGE  
4 ---o0o---

4 KEVIN PHILLIPS, an :  
individual, :  
5 :  
Plaintiff, : No. 3:12-CV-344-RCJ-WGC  
6 :  
-vs- : February 2, 2015  
7 :  
C.R. BARD, INC., a foreign : Reno, Nevada  
8 corporation, et al., :  
9 Defendants. :  
10 \_\_\_\_\_ :

11 TRANSCRIPT OF TESTIMONY OF SUZANNE PARISIAN, M.D.  
12

13 APPEARANCES:

14 FOR THE PLAINTIFF: RAMON R. LOPEZ and TROY A. BRENES  
Attorneys at Law  
15 Newport Beach, California

16 JULIA N. REED ZAIC  
Attorney at Law  
17 Laguna Beach, California

18 PETER C. WETHERALL  
Attorney at Law  
19 Las Vegas, Nevada

20 FOR THE DEFENDANTS: RICHARD B. NORTH, JR., and  
MATTHEW B. LERNER  
21 Attorneys at Law  
Atlanta, Georgia  
22

23 Reported by: Margaret E. Griener, CCR #3, FCRR  
Official Reporter  
24 400 South Virginia Street  
Reno, Nevada 89501  
25

(Appearances continued on page 2.)

1 on a particular topic.

2 A guidance document is -- can be two types. It can  
3 be made for the manufacturer industry, guidance documents to  
4 try to help them be aware of what the FDA requires, to help  
5 them get 510(k) clearances, for various different things to  
6 try to assist the industry.

7 There are also some guidances that include the  
8 information for the reviewer, too.

9 But typically guidances are designed to give access  
10 to industry of current FDA thinking, to try to help bring new  
11 products to the public, and try to make it, you know, easier  
12 to get products through the FDA.

13 Q And in 1999 the FDA produced a guidance document for the  
14 development of inferior vena cava filters, correct?

15 A It wasn't for the development, it was for a 510(k).

16 The guidance document was to help encourage the  
17 manufacturer to test certain things. It's not all inclusive.  
18 It's not a cookbook do this and then you have an IVF.

19 But it was to try to tell the manufacturer what you  
20 would need to provide the FDA to get clearance, 510(k)  
21 clearance. The manufacturer itself does all the development  
22 under good manufacturing of a new product. So it's basically  
23 based on a 510(k).

24 MR. NORTH: If we could show the witness  
25 Exhibit 2112.

# EXHIBIT 8



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UNITED STATES DISTRICT COURT  
DISTRICT OF ARIZONA

-----X  
IN RE BARD IVC )  
FILTERS PRODUCTS ) No. MD-15-02641-PHX-DGC  
LIABILITY LITIGATION )  
-----X

DO NOT DISCLOSE - SUBJECT TO FURTHER  
CONFIDENTIALITY REVIEW

VIDEOTAPED DEPOSITION OF CHRISTINE L. BRAUER, Ph.D.  
WASHINGTON, D.C.  
WEDNESDAY, AUGUST 2, 2017  
9:07 A.M.

Reported by: Leslie A. Todd

1 Q Okay. When you say labeling, what are  
2 you talking about exactly?

3 A The instructions for use.

4 Q Okay. But that's not -- that's not  
5 all -- that's not how labeling is defined in a  
6 regulatory way, right? It's not just IFUs or  
7 other things that fall within the category of  
8 labeling?

9 A That's correct, sir.

10 Q And what -- what --

11 A The category of labeling can include  
12 additional materials.

13 Q For example?

14 A Labels that are physically attached.

15 Q What -- and that's it, just an IFU and  
16 labels that are physically attached?

17 A No, sir, it can include other things.

18 Q Well, I'm asking you that question, what  
19 does labeling entail in a regulatory sense?

20 A In a regulatory sense, it can entail the  
21 labels, the labeling or instructions for use, and  
22 it can also entail promotional materials.

23 Q All right. In fact, it can include any  
24 commune- -- any official communication by a

# EXHIBIT 9

1 IN THE UNITED STATES DISTRICT COURT

2 FOR THE DISTRICT OF ARIZONA

3

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IN RE: BARD IVC FILTERS PRODUCTS )

5 LIABILITY LITIGATION, ) MD No.: 02641

\_\_\_\_\_)

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9 Do Not Disclose - Subject to Further Confidentiality Review

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14 VIDEOTAPED DEPOSITION OF KAY FULLER

15 Phoenix, Arizona

January 11, 2016

16 9:07 a.m.

17

18

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22

23 REPORTED BY:

24 Robin L. B. Osterode, RPR, CSR

25 AZ Certified Reporter No. 50695

1 device.

2 Q. Okay. Now, Exhibit 3, which is --

3 What's your number on Exhibit 3?

4 MS. BLAS: It's Exhibit 117.

5 (Marked for identification Exhibit 117.)

6 BY MR. NATIONS:

7 Q. Let me show you Exhibit 117. The caption

8 on this is "Guidance for our Industry and FDA

9 Staff" -- "Guidance for Cardiovascular/Intravascular

10 Filter 510(k) Submissions," and this was issued on

11 November 16th, 1999. What is the purpose of this

12 document?

13 A. As we just mentioned, this is a FDA-issued

14 guidance document to help companies understand FDA's

15 current thinking on what needs to go into a 510(k)

16 submission for a cardiovascular/intravascular filter

17 also known as an IVC filter. And in it it tells you,

18 it gives, especially the regulatory people and the

19 company the scope of this guidance document, as well

20 as what -- what it is referring to and what it's not

21 referring to. And it gives ideas on the type of

22 preclinical testing that would be required to be

23 included in that 510(k) submission, the

24 performance-related characteristics of the device,

25 how to both simulate it and in vivo-related

1 capabilities of the device.

2 And also it does refer to some clinical  
3 investigations, and then addressing any types of  
4 complications that the device might have, how to go  
5 about incorporating that information into your 510(k)  
6 application.

7 Q. Now, this is -- this is stamped by CDRH,  
8 which is the Center for Devices and Radiological  
9 Health. What's the relationship of CDRH to FDA?

10 A. The CDRH is one of several divisions at the  
11 FDA. The CDRH is the primary center that handles  
12 device-related submissions and applications.

13 Q. Okay.

14 A. It's the center that we would actually  
15 submit the 510(k) to.

16 Q. Under guidance for the 510(k) submissions,  
17 it says their devi -- the manu -- can you read that  
18 last part of that designation?

19 MS. BLAS: It's on the screen.

20 THE WITNESS: I'm sorry, the guidance --

21 BY MR. NATIONS:

22 Q. Yeah.

23 A. -- for cardiovascular/intravascular filter  
24 submissions --

25 Q. Yes.

1 A. -- that paragraph?

2 Q. Yes.

3 A. "This guidance document describes a means  
4 by which cardiovascular/intravascular filter devices  
5 may comply with the requirement of special controls  
6 for Class II devices." Do you want me to continue?

7 Q. Yes.

8 A. "Designation of this guidance document as a  
9 special control means that manufacturers attempting  
10 to establish that their device is substantially  
11 equivalent to a predicate  
12 cardiovascular/intravascular filter device should  
13 demonstrate that the proposed device complies with  
14 either the specific recommendations of this guidance  
15 or some alternate control that provides equivalent  
16 assurance of safety and effectiveness."

17 Q. So you have the guidance from this  
18 document, and then you have -- you're comparing to  
19 the predicate device?

20 A. That's correct.

21 Q. Is that primarily where the manufacturer  
22 gets their guidelines that they have to comply with?

23 A. It's -- it's one of the places. Again,  
24 this is a guidance document where we get, primarily,  
25 one of the requirements reside are in the Code of

1 Federal Regulation.

2 Q. Yes.

3 A. So there's a lot more detail in the  
4 regulation than in the guidance document.

5 Q. Okay.

6 A. Excuse me, could I have some water?

7 Q. Absolutely. Where's --

8 A. May I stand up for a minute?

9 MR. NATIONS: Yeah, let's take a break  
10 here, that's fine.

11 THE VIDEOGRAPHER: With the approval of  
12 counsel. Going off the record. The time is  
13 approximately 10:00 a.m.

14 (Recessed from 10:00 a.m. until 10:14 a.m.)

15 THE VIDEOGRAPHER: With the approval of  
16 counsel, back on the record. The time is  
17 approximately 10:14 a.m.

18 BY MR. NATIONS:

19 Q. Ms. Fuller, I'd like to direct your  
20 attention now to when you first went to work with  
21 Bard or when you were recruited at Bard. Tell us the  
22 facts surrounding that, would you, please.

23 A. I was approached by a recruiter, and they  
24 contacted me and I talked to them, they explained  
25 there was an opening at Bard for a senior regulatory



1     engineering way to design a bench test that could do  
2     that. The reason that's really important is you want  
3     to understand at what point does that metal fatigue  
4     and when does it break, such that you could improve  
5     the specifications of that metal to be more likely to  
6     be designed that the specifications would not only  
7     allow it not to break at that level, but to have some  
8     built-in reinforcements so that it would be able to  
9     endure longer stress before it would break. So there  
10    is certainly an engineering way to do that.

11           Q.     Did you ever participate in or witness  
12    while you were at Bard before this submission, that a  
13    recommendation that a validated test method to assess  
14    fatigue resistance be developed?

15           A.     I don't recall that.

16           Q.     Okay. Did you ever get the answer to your  
17    question or did you get any -- not answer to the  
18    question, did you ever get substantive evidence of  
19    whether the proper sterilization had been done in the  
20    proper order to produce a safe product?

21           A.     Well, there's two things in that question,  
22    so --

23           Q.     All right.

24           A.     -- I -- I was -- I had seen the  
25    sterilization validation to assure that the product

1     could be sterilized and packaged and stay sterile.  
2     I'd seen that. But what I had not seen was earlier  
3     testing that would have been conducted on the device,  
4     which at the time was this 10-year cycle testing. I  
5     had not seen a report that indicated in the report  
6     that the company had tested post-sterilized product.  
7     I never did see that report.

8                   (Marked for identification Exhibit 126.)

9     BY MR. NATIONS:

10        Q.     Okay. We're going to show you Exhibit 126.  
11     And see if you can --

12               MS. BLAS: Give me one second to get  
13     copies.

14     BY MR. NATIONS:

15        Q.     I'll have you look at this.

16               MS. BLAS: Two seconds. Yeah, it's on the  
17     screen and the hard copies are coming.

18               It's on the screen, Howard. It's right  
19     here.

20     BY MR. NATIONS:

21        Q.     And what does this document appear to be?

22        A.     It looks like a copy of a cover letter to a  
23     510(k) submission from IMPRA to the FDA.

24        Q.     Okay. And is this the submission --  
25     what -- what submission is this for?

1 MR. NORTH: 58B.

2 THE WITNESS: I'm just refreshing my memory  
3 of the questions that the FDA asked, and how we  
4 responded, so to answer your question.

5 MR. NORTH: How much time --

6 MS. DALY: 14.

7 THE WITNESS: There is some discussion  
8 about "the potential for vena cava filter to  
9 perforate the vessel being primarily due to the  
10 outward radial force that the filter elements exert  
11 onto the vena cava wall. If the force is too high,  
12 the localized pressure will tend to weaken the vessel  
13 wall and could cause it to fail."

14 And then we go on to describe how the  
15 original design inputs for the Recovery Filter was  
16 designed to be no greater than the Simon Nitinol  
17 Filter, the predicate filter. Appropriate mechanical  
18 test is the radial strength test, so yeah.

19 BY MR. NORTH:

20 Q. Not once in that letter, though, did you  
21 mention that you were concerned about the Recovery  
22 Filter, because this cycle testing that you've  
23 referenced, 10-year testing had not been performed on  
24 post-sterilized filters, did you?

25 A. That's correct.

# EXHIBIT 10

Katrina Newton, et al v.  
C.R. Bard, Inc., et al

---

Kay Fuller  
November 09, 2010

---

Moretti Group  
471 W. South Street  
Suite 41B  
Kalamazoo, MI 49007  
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Original File 110910KF.txt

Min-U-Script®

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1 A. It's my opinion that it did.

2 Q. In what way?

3 A. Well, I decided one of the biggest concerns I had is  
4 that the FDA requires a company to validate their  
5 product will perform as intended. There are  
6 different ways to validate a product. There are  
7 bench testing methodologies; there are animal  
8 studies; and then sometimes there are clinical  
9 studies. These are all types of validation tests.  
10 My concern was that one of the most important  
11 validation tests for this product from a performance  
12 standpoint, was the fatigue testing that I believe  
13 occurred with the Endura-Tech fatigue tester.

14 My recollection is they had conducted  
15 pretty extensive fatigue testing, which replicated,  
16 I believe, up to at least ten years of simulated  
17 use. In other words, ten years of simulated  
18 implantation. And my recollection is that that  
19 fatigue testing did yield results that showed that  
20 the product could withstand over ten years of  
21 simulated use. However, and this was my biggest  
22 concern, they had not tested it on a product that  
23 had been ethylenoxide sterilized. They had tested  
24 it prior to that sterilization process. And my big  
25 concern was that nitinol being a shaped memory metal

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1 that is temperature sensitive metal, I did not know  
2 whether nitinol might be affected by the  
3 sterilization process. In other words, one of the  
4 things that I don't believe we had a satisfactory  
5 data on, was whether or not the recovery filter  
6 after sterilization, would pass a ten-year  
7 simulated-use fatigue test. Ethylenoxide  
8 sterilization involves chemical, moisture,  
9 temperature and pressure environment in order to  
10 sterilize the product.

11 Q. Did you express these concerns to the other members  
12 of the team and management?

13 A. Yes, I did.

14 Q. And what was the response that you received from  
15 management?

16 A. Various responses that were not heeding my concerns.

17 Q. Could you give me some examples?

18 A. I believe I wrote some e-mails. Especially when I  
19 first discovered that the testing had occurred on  
20 pre-sterilized products. Now, I would like to take  
21 a moment to explain that it's my recollection that  
22 many of these tests had been conducted by the  
23 company NMT rather than Bard.

24 Q. All right.

25 A. And so I can't recall I need to say. But I believe

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1 some of this original fatigue testing occurred at  
2 NMT. As NMT as I recall was the company that  
3 actually developed this device in the early stages.  
4 And I believe Bard purchased it from NMT, and some  
5 of the employees from NMT joined Bard, if I recall  
6 that correctly.

7 And so part of the pressure on the team was  
8 that there had been so many delays in getting this  
9 through the 510(k) process with the FDA, that a few  
10 years had gone by, the company had hoped to already  
11 have this product on the market, and additional  
12 testing would add to the delay.

13 Q. So, are you suggesting that it would cost the  
14 company money in sales to do the testing that you  
15 were recommending to determine whether the  
16 fatigability of the filter or the fracture rate of  
17 the filter would be impacted by the sterilization  
18 process?

19 MS. TAPLEY DALY: Object to the form. You,  
20 can answer.

21 THE WITNESS: Yeah, I might say it a little  
22 bit differently. I don't want to speculate on  
23 whether the company would lose sales or not. It may  
24 be a foregone conclusion that you can't make a sale  
25 until you get FDA clearance on your product. And so

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1           what my understanding of the decision-making was  
2           that additional testing may delay getting the 510(k)  
3           cleared. There was also some conflict within the  
4           time, frankly, that I was concerned about.

5       Q.     What was that?

6       A.     One of the company engineers from NMT had, I  
7           believe, helped develop the product while he was at  
8           NMT, and he ended up joining Bard and became an  
9           important project leader, I believe, for this  
10          project at Bard. I believe he may have been  
11          involved in some of this testing that may have  
12          occurred at NMT in the early development of the  
13          product, and there were some disagreements on  
14          whether or not this additional testing was really  
15          necessary. But I believe this particular engineer  
16          has potential conflict in the pressure on him to get  
17          the product out, you know, to the market, as well as  
18          his early work on the product. So he had the most  
19          pressure on him, frankly, historically.

20      Q.     Who was that?

21      A.     Robert Carr.

22      Q.     Other than the response that we needed to -- we  
23           meaning Bard, Bard needed to get the 510(k) approved  
24           and get the product to market and Mr. Carr's  
25           suggestion that the additional fatigue testing after

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1 sterilization was not needed, was there any other  
2 response to your suggestion for fatigue testing?

3 MS. TAPLEY DALY: Object to the form. I'm  
4 sorry, Dean, object to the form. You have misstated  
5 her testimony, but she can answer subject to that  
6 objection.

7 THE WITNESS: Can you restate the question?

8 MR. HARTLEY: Sure. Let me rephrase the  
9 question.

10 BY MR. HARTLEY:

11 Q. In addition to the items that you have mentioned to  
12 us already, was there any additional response to  
13 your suggestion that further fatigue testing after  
14 sterilization was needed?

15 A. I apologize, Dean. Can you ask me the question  
16 again?

17 Q. I believe you suggested to me, and I said -- my  
18 question to you earlier was, what was management's  
19 response to your suggestion that sterilization  
20 fatigue testing after sterilization should be  
21 accomplished, in light of what had been done with  
22 the fatigue testing on the recovery filter at that  
23 point in time, correct?

24 A. Yes.

25 Q. And then you mentioned to me that there was pressure

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1 to get the product out and get it approved by FDA so  
2 that it could be marketed, correct?

3 A. I'd like to correct that slightly. The FDA did not  
4 approve this product. The FDA cleared this product.

5 Q. All right. But there was pressure to get the  
6 product cleared so it could get on to the market,  
7 correct?

8 A. Yes.

9 Q. And there was, in your words, a conflict within the  
10 team as to whether additional fatigue testing was  
11 even necessary?

12 A. I would say that is correct. I was not in the  
13 majority, in my opinion, I'll say.

14 Q. All right. And my question to you, then, was -- was  
15 there any other response from management other than  
16 those two items?

17 A. Response from management that additional fatigue  
18 testing wasn't necessary?

19 Q. Yes, ma'am.

20 A. I don't recall anything in particular, additional  
21 response from management, per se. However, I would  
22 say that management's actions continued to move the  
23 process forward. I did bring up some concerns about  
24 the failure investigation on the fractured filter,  
25 and the conclusions that were made in that report

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# **EXHIBIT 11**



Deposition of:  
**David Kessler , M.D.**

*July 31, 2017*

In the Matter of:  
**In Re: Bard IVC Filters Products  
Liability**

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1 Q And if in reviewing a 510(k) application the FDA  
2 wants the label changed, it can request it, correct?

3 A It's part of a negotiation with the company.  
4 There's a back and forth.

5 Q And, in fact, for the G2 -- G2 filter, the FDA  
6 requested a warning -- specific warning regarding the  
7 use of the filter in morbidly obese patients, correct?

8 A I'd have to go back. I think there was a  
9 request. I'd have to go back and actually understand  
10 that chronology with regard to morbidly obese. I do  
11 have it in my notes here.

12 Q Do you recall one way or the other whether a  
13 warning regarding morbidly obese patients was ultimately  
14 added to the G2 IFU?

15 A I have it here in my schedules exactly. Just let  
16 me be -- I believe so. Happy to check. Just give me a  
17 second and I can be double sure. Let me just see if I  
18 can... I'd have to double-check on that to be sure. I  
19 believe that's correct. But I think that there was a  
20 back and forth with the company.

21 Q You haven't spoken with any of the actual  
22 reviewers of Bard's 510(k)s, have you?

23 A I have not. I stayed with the record.

24 Q Are you going to offer any opinions that Bard, in  
25 designing, manufacturing and selling any of its IVC

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1 see if I can find it for you. Let it be -- it's one of  
2 the great titles of an article. Let me just check the  
3 journal. Actually, I'm sorry. It's Journal of Vascular  
4 and Interventional Radiology. Let it be finale of  
5 seeing the safety and efficacy of inferior vena cava  
6 filters. If you go through this and if you look at the  
7 Denali, it clearly was not a study of safety and  
8 efficacy. It was a study of placement and  
9 retrievability.

10 MR. NORTH: Let's mark this.

11 (Exhibit 12 was marked for identification  
12 by the court reporter and is attached hereto.)

13 THE VIDEOGRAPHER: Twelve.

14 BY MR. NORTH:

15 Q No. 12 is the FDA's 1999 guidance regarding  
16 filters, correct?

17 A Yes, sir.

18 Q And you are familiar with that?

19 A I am. It superseded the '97 guidance. Yes, sir.

20 Q And you state in Exhibit 4, your second  
21 supplemental report, that this particular guidance is  
22 not specific to Bard filters, correct?

23 A It doesn't mention Bard filters at all.

24 Q But it is applicable to Bard filters, correct?

25 A It's not specific with regard to Bard filters.

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1 Q Isn't it applicable to all IVC filters?

2 A It says -- all it says is "This guidance document  
3 describes the means by which cardiovascular  
4 intravascular filters may comply with the requirements  
5 of special controls." So it may -- I mean, it's there  
6 and it may provide -- it says exactly that. Companies  
7 can go their own direction, but they also can comply  
8 with the -- it's a roadmap. It's a guidance document  
9 with regard to that. It's not specific with regard to  
10 Bard. And we've seen -- I mean, continual evidence of  
11 that. You know, Bard designed its own migration  
12 testing. It changed its migration -- its own  
13 performance testing, its own performance results. It  
14 changed what those standards were on its own independent  
15 of this guidance.

16 Q The guidance document does not tell you exactly  
17 how to perform a migration study, does it?

18 A Not only -- it certainly does not. There's not  
19 specificity in that, and you see it doesn't say what the  
20 performance standard is. It's not how to do it. It  
21 doesn't even say what the performance standard is. And  
22 you see that Bard changed those performance standards  
23 when it failed. The device failed.

24 Q You would agree that Bard's retrievable filters  
25 are cardiovascular intravascular filters, correct?